

IN THE  
UNITED STATES PATENT AND TRADEMARK OFFICE

Inventor(s): Sumit ROY, et al.

Confirmation No.:

Application No.: 10/698,811

Examiner:

Filing Date: 10/30/03

Group Art Unit:

Title: SYSTEMS AND METHODS FOR PERFORMING A SERVICE ON CONTENT REQUESTED  
BY A CLIENT DEVICE

Commissioner for Patents  
PO Box 1450  
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Sir:

This Information Disclosure Statement is submitted:

- ☒ under 37 CFR 1.97(b), or  
(Within three months of filing national application; or date of entry of national application; or before mailing date of first office action on the merits; whichever occurs last)
- ☐ under 37 CFR 1.97 (c) together with either a:  
☐ Statement under 37 CFR 1.97(e), or  
☐ a \$180.00 fee under 37 CFR 1.17(p), or  
(After the CFR 1.97 (b) time period, but before final action or notice of allowance, whichever occurs first)
- ☐ under 37 CFR 1.97 (d) together with a:  
☐ Statement under 37 CFR 1.97(e)(1) or (2), and  
☐ a \$180.00 fee set forth in 37 CFR 1.17(p).  
(Filed after final action, a notice of allowance, on or before payment of the issue fee)

Please charge to Deposit Account **08-2025** the sum of \$0.00. At any time during the pendency of this application, please charge any fees required or credit any overpayment to Deposit Account **08-2025** pursuant to 37 CFR 1.25.

☒ Applicant(s) submit herewith Form PTO 1449 - Information Disclosure Statement together with any required copies of patents, publications or other information of which applicant(s) are aware, which applicant(s) believe(s) may be material to the examination of this application and for which there may be a duty to disclose in accordance with 37 CFR 1.56.

☐ A concise explanation of the relevance of foreign language patents, foreign language publications and other foreign language information listed on PTO Form 1449, as presently understood by the individuals(s) designated in 37 CFR 1.56 (c) most knowledgeable about the content is given on the attached sheet, or where a foreign language patent is cited in a search report or other action by a foreign patent office in a counterpart foreign application, an English language version of the search report or action which indicates the degree of relevance found by the foreign office is listed on form PTO 1449 and is enclosed herewith.

It is requested that the information disclosed herein be made of record in this application.

- ☒ I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, Alexandria, VA 22313-1450. Date of Deposit: 01/30/04

OR

- ☐ I hereby certify that this paper is being transmitted to the Patent and Trademark Office facsimile number \_\_\_\_\_ on \_\_\_\_\_  
Number of pages: \_\_\_\_\_

Typed Name: Desiree Caldwell

Signature: Desiree Caldwell

Respectfully submitted,

**Sumit ROY, et al.**

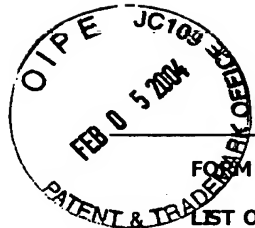
By \_\_\_\_\_

**John P. Wagner, Jr.**

Attorney/Agent for Applicant(s)  
Reg. No. **35,398**

Date: **01/30/04**

Telephone No.: **(408) 938-9060**

**PATENT APPLICATION**

Sheet 1 of 1

FORM PTO-1449

**LIST OF PATENTS AND PUBLICATIONS FOR  
APPLICANT'S INFORMATION DISCLOSURE  
STATEMENT**

(Use several sheets if necessary)

ATTY. DOCKET NO.

**200313238-1**

APPLICATION NO.

**10/698,811**

CONFIRMATION NO.

APPLICANT

**Sumit ROY, et al.**

FILING DATE

**10/30/03**

GROUP

**REFERENCE DESIGNATION****U.S. PATENT DOCUMENTS**

EXAMINER INITIAL		DOCUMENT NUMBER	PUBLICATION DATE	NAME	Pages, Columns, Lines Where Relevant Passages or Figures Appear
	1A	6,516,350	Feb. 4, 2003	Lumelsky, et al.	
	1B	6,442,165	Aug. 27, 2002	Sitaraman, et al.	
	1C	5,937,388	Aug. 10, 1999	Davis, et al.	
	1D	6,055,433	Apr. 25, 2000	Yuan, et al.	
	1E	6,463,454	Oct. 8, 2002	Lumelsky, et al.	
	1F	2003/0046396	Mar. 6, 2003	Richter, et al.	
	1G	2002/0152305	Oct. 17, 2002	Jackson, et al.	
	1H				
	1I				
	1J				
	1K				

**FOREIGN PATENT DOCUMENTS**

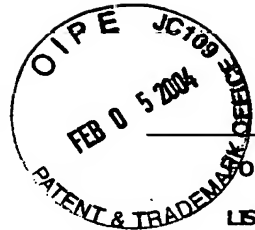
		DOCUMENT NUMBER	PUBLICATION DATE	NAME OF PATENTEE OR APPLICANT	Pages/Columns/Lines Where Relevant Passages/Figures Appear	Check if Translation attached
	1L	EP1035718A1	13/09/2000	Lucent technologies		
	1M	WO02/058396	25/07/2002	Streamworks Tech		
	1N					
	1O					
	1P					

**OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)**

	1Q	"INTERNET STREAMING MEDIA ALLIANCE IMPLEMENTATION SPECIFICATION", Version 1.0; August 28, 2001; Internet Streaming Media Alliance (ISMA); 68 pages.
	1R	M. Handley, et al.; "SDP: SESSION DESCRIPTION PROTOCOL"; copyright: The Internet Society (1998); April 1998; 40 Pages.
	1S	Don Box, et al.; "SIMPLE OBJECT ACCESS PROTOCOL (SOAP) 1.1"; May 8, 2000; W3C; 35 pages.

EXAMINER

DATE CONSIDERED

**PATENT APPLICATION**

Sheet 1 of 1

FORM PTO-1449

ATTY. DOCKET NO.

**200313238-1**

APPLICATION NO.

**10/698,811**

CONFIRMATION NO.

**LIST OF PATENTS AND PUBLICATIONS FOR  
APPLICANT'S INFORMATION DISCLOSURE  
STATEMENT**

(Use several sheets if necessary)

APPLICANT

**Sumit ROY, et al.**

FILING DATE

**10/30/04**

GROUP

**REFERENCE DESIGNATION****U.S. PATENT DOCUMENTS**

EXAMINER INITIAL		DOCUMENT NUMBER	PUBLICATION DATE	NAME	Pages, Columns, Lines Where Relevant Passages or Figures Appear
	1A				
	1B				
	1C				
	1D				
	1E				
	1F				
	1G				
	1H				
	1I				
	1J				
	1K				

**FOREIGN PATENT DOCUMENTS**

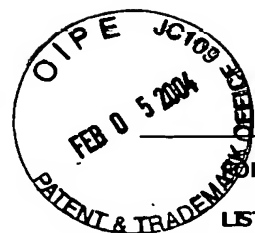
		DOCUMENT NUMBER	PUBLICATION DATE	NAME OF PATENTEE OR APPLICANT	Pages/Columns/Lines Where Relevant Passages/Figures Appear	Check if Translation attached
	1L					
	1M					
	1N					
	1O					
	1P					

**OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)**

1	1Q	H. Schilzrinne, et al.; "REAL TIME STREAMING PROTOCOL (RTSP)"; copyright: The Internet Society (1998); April 1998; 87 pages.
2	1R	H. Schilzrinne, et al.; "RTP: A TRANSPORT PROTOCOL FOR REAL-TIME APPLICATIONS"; 70 Pages.
3	1S	A. Babir, et al.; "OPES USE CASES AND DEPLOYMENT SCENARIOS draft-ietf-opes-scenarios-01" copyright: The Internet Society (2002); August 5, 2002; 16 pages.

EXAMINER

DATE CONSIDERED

**PATENT APPLICATION**

Sheet 1 of 1

FORM PTO-1449

**LIST OF PATENTS AND PUBLICATIONS FOR  
APPLICANT'S INFORMATION DISCLOSURE  
STATEMENT**

(Use several sheets if necessary)

ATTY. DOCKET NO.

**200313238-1**

APPLICATION NO.

**10/698,811**

CONFIRMATION NO.

APPLICANT

**Sumit ROY, et al.**

FILING DATE

**10/30/03**

GROUP

**REFERENCE DESIGNATION****U.S. PATENT DOCUMENTS**

EXAMINER INITIAL		DOCUMENT NUMBER	PUBLICATION DATE	NAME	Pages, Columns, Lines Where Relevant Passages or Figures Appear
	1A				
	1B				
	1C				
	1D				
	1E				
	1F				
	1G				
	1H				
	1I				
	1J				
	1K				

**FOREIGN PATENT DOCUMENTS**

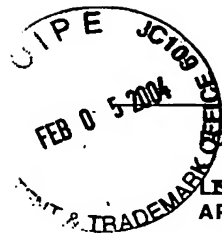
		DOCUMENT NUMBER	PUBLICATION DATE	NAME OF PATENTEE OR APPLICANT	Pages/Columns/Lines Where Relevant Passages/Figures Appear	Check if Translation attached
	1L					
	1M					
	1N					
	1O					
	1P					

**OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)**

	1Q	Takeshi Yoshimura, et al.; "MOBILE STREAMING MEDIA CDN ENABLED BY DYNAMIC SMIL"; May 7-11, 2002; Honolulu, Hawaii; pages 651-661.
	1R	Susie J. Wee, et al.; "FIELD-TO-FRAME TRANSCODING WITH SPATIAL AND TEMPORAL DOWNSAMPLING"; IEEE International conference on Image Processing, Kobe, Japan, October 1999; 5 pages.
	1S	Sumit Roy, et al.; "APPLICATION LEVEL HAND-OFF SUPPORT FOR MOBILE MEDIA TRANSCODING SESSIONS"; NOSSDAV 2002, May 12-14, 2002, Miami, Florida; 10 pages.

EXAMINER

DATE CONSIDERED



FORM PTO-1449

LIST OF PATENTS AND PUBLICATIONS FOR  
APPLICANT'S INFORMATION DISCLOSURE  
STATEMENT

(Use several sheets if necessary)

ATTY. DOCKET NO.

200313238-1

APPLICATION NO.

10/698,811

CONFIRMATION NO.

APPLICANT

Sumit ROY, et al.

FILING DATE

10/30/03

GROUP

## REFERENCE DESIGNATION

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	PUBLICATION DATE	NAME	Pages, Columns, Lines Where Relevant Passages or Figures Appear
	1A				
	1B				
	1C				
	1D				
	1E				
	1F				
	1G				
	1H				
	1I				
	1J				
	1K				

## FOREIGN PATENT DOCUMENTS

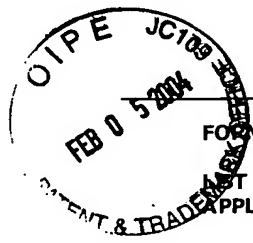
		DOCUMENT NUMBER	PUBLICATION DATE	NAME OF PATENTEE OR APPLICANT	Pages/Columns/Lines Where Relevant Passages/Figures Appear	Check if Translation attached
	1L					
	1M					
	1N					
	1O					
	1P					

## OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)

	1Q	Sumit Roy, et al.; "IMPLEMENTATION OF AN ALGORITHM FOR FAST DOWN-SCALE TRANSCODING OF COMPRESSED VIDEO ON THE ITANIUM"; Hewlett- Packard Laboratories, Palo Alto, CA ; 8 pages.
	1R	3GPP TS 26.244 V0.1.2 (2003-02-19); 3rd Generation Partnership Project: Technical Specification Group Services and System Aspects Transparent end-to-end packet switched streaming service (PSS); 3GPP file format (3GP) (Release 6).
	1S	3GPP TS 26.234 V5.0.0 (2000-03); 3rd Generation Partnership Project: Technical Specification Group Services and System Aspects; Transparent end-to-end packet switched streaming service (PSS); Protocols and codecs (Release 5).

EXAMINER

DATE CONSIDERED



FORM PTO-1449

STATEMENT OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT

(Use several sheets if necessary)

ATTY. DOCKET NO. <b>200313238-1</b>	APPLICATION NO. <b>10/698,811</b>	CONFIRMATION NO.
APPLICANT <b>Sumit ROY, et al.</b>		
FILING DATE <b>10/30/03</b>	GROUP	

REFERENCE DESIGNATION U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	PUBLICATION DATE	NAME	Pages, Columns, Lines Where Relevant Passages or Figures Appear
	1A				
	1B				
	1C				
	1D				
	1E				
	1F				
	1G				
	1H				
	1I				
	1J				
	1K				

FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	PUBLICATION DATE	NAME OF PATENTEE OR APPLICANT	Pages/Columns/Lines Where Relevant Passages/Figures Appear	Check if Translation attached
	1L					
	1M					
	1N					
	1O					
	1P					

OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)

1Q	A. Babir, et al.; "AN ARCHITECTURE FOR OPEN PLUGGABLE EDGE SERVICES (OPES) draft -ietf-opes-architecture-04"; copyright: The Internet Society (2002); December 11, 2002; 22 pages.
1R	Wei Tsang Ooi, et al.; "DESIGN AND IMPLEMENTATION OF PROGRAMMABLE MEDIA GATEWAYS"; Department of Computer Science, Cornell University, Ithaca, NY; 8 pages.
1S	Wei-Ying Ma, et al.; "CONTENT SERVICES NETWORK: THE ARCHITECTURE AND PROTOCOLS"; 9 Pages.

EXAMINER	DATE CONSIDERED
----------	-----------------

FORM PTO-1449

ATTY. DOCKET NO.

200313238-1

APPLICATION NO.

10,698,811

CONFIRMATION NO.

LIST OF PATENTS AND PUBLICATIONS FOR  
APPLICANT'S INFORMATION DISCLOSURE  
STATEMENT

(Use several sheets if necessary)

APPLICANT

Sumit ROY, et al.

FILING DATE

10/30/03

GROUP

## REFERENCE DESIGNATION

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	PUBLICATION DATE	NAME	Pages, Columns, Lines Where Relevant Passages or Figures Appear
	1A				
	1B				
	1C				
	1D				
	1E				
	1F				
	1G				
	1H				
	1I				
	1J				
	1K				

## FOREIGN PATENT DOCUMENTS

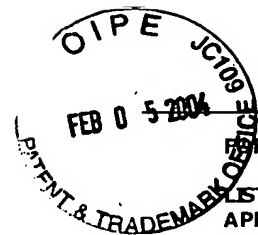
		DOCUMENT NUMBER	PUBLICATION DATE	NAME OF PATENTEE OR APPLICANT	Pages/Columns/Lines Where Relevant Passages/Figures Appear	Check if Translation attached
	1L					
	1M					
	1N					
	1O					
	1P					

## OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)

1Q	Roger Karrer, et al.; "DYNAMIC HANDOFF OF MULTIMEDIA STREAMS"; Institute of Computer Systems, ETH Zurich; 5 pages.
1R	
1S	

EXAMINER

DATE CONSIDERED

**PATENT APPLICATION**

Sheet 1 of 1

FORM PTO-1449

**LIST OF PATENTS AND PUBLICATIONS FOR  
APPLICANT'S INFORMATION DISCLOSURE  
STATEMENT**

(Use several sheets if necessary)

ATTY. DOCKET NO.

**200313238-1**

APPLICATION NO.

**10/698,811**

CONFIRMATION NO.

APPLICANT

**Sumit ROY, et al.**

FILING DATE

**10/30/03**

GROUP

**REFERENCE DESIGNATION****U.S. PATENT DOCUMENTS**

EXAMINER INITIAL		DOCUMENT NUMBER	PUBLICATION DATE	NAME	Pages, Columns, Lines Where Relevant Passages or Figures Appear
	1A				
	1B				
	1C				
	1D				
	1E				
	1F				
	1G				
	1H				
	1I				
	1J				
	1K				

**FOREIGN PATENT DOCUMENTS**

		DOCUMENT NUMBER	PUBLICATION DATE	NAME OF PATENTEE OR APPLICANT	Pages/Columns/Lines Where Relevant Passages/Figures Appear	Check if Translation attached
	1L					
	1M					
	1N					
	1O					
	1P					

**OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)**

0	1Q	Elan Amir, et al.; "AN ACTIVE SERVICE FRAMEWORK AND ITS APPLICATION TO REAL-TIME MULTIMEDIA TRANSCODING"; available at <a href="http://www.net-tech.bbn.com/smtpkts/baltimore/index.html">www.net-tech.bbn.com/smtpkts/baltimore/index.html</a> ; 12 pages.
2	1R	Michael Harville, et al.; "AN ARCHITECTURE FOR COMPONENTIZED, NETWORK-BASED MEDIA SERVICES"; Hewlett-Packard Laboratories, Palo Alto, CA; 7 pages.
3	1S	Michael Harville, et al.; "AN ARCHITECTURE FOR COMPONENTIZED, NETWORK-BASED MEDIA SERVICES" Streaming Media Systems Group, HP Labs, Palo Alto, CA ; 4 pages.

EXAMINER

DATE CONSIDERED